

# 2

Export Certification  
Manual

## Methods And Procedures

### *Import Requirements*

---

#### Contents

Introduction [page-2-3-1](#)  
Review Export Summaries [page-2-3-1](#)

---

#### Introduction

Authorized Certification Officials (ACO's) use the export summary of the foreign country to identify all import requirements that must be met in order to issue an FPC, or to identify prohibitions that would disallow certification of the plants and plant products. Based on whether the plants and plant products can meet the import requirements, Authorized Certification Officials (ACO's) then determine if an FPC can be issued.

EXCERPT provides the most recent information on import requirements. To identify recent changes or additions to import requirements for plants or plant products, as well as alerts that may apply to all exports, always check the following:

- ◆ Phytosanitary Notes (PN's)
- ◆ EXCERPT messages and alerts
- ◆ Recent Summary Changes

---

#### Review Export Summaries

**THE SUMMARIES OF THE IMPORT REQUIREMENTS OF FOREIGN COUNTRIES ARE NOT TO BE CONSIDERED LEGALLY AUTHORITATIVE.** They are prepared from translations of plant quarantine regulations, official instructions, and other information provided by officials in the foreign countries. When possible, a summary is reviewed and corrected by plant protection officials in the foreign country **before** it is loaded in EXCERPT. Changes are based on official information from the foreign country and are available to all Authorized Certification Officials (ACO's) in EXCERPT.

Occasionally, important changes in foreign regulations are not brought to the attention of PPQ. Therefore, you should advise exporters that there may be informational gaps in the summaries. Especially in the case of unusual or expensive shipments, exporters

may wish to contact the plant protection officials in the foreign country to obtain or confirm the requirements for particular plants and plant products.

When the exporter presents import requirements that differ from those in the summary, the exporter must provide the Authorized Certification Official (ACO) with official documents stating the requirements. The documents may be import permits (IP's), special authorizations, or recent correspondence from the plant protection service of the foreign country. (These new requirements should be brought to the attention of ES.) An official document from the plant protection service of the foreign country takes precedence over the information contained in the summary.

Keep in mind that exporters frequently present contract or letter of credit stipulations from their contacts in the foreign country to indicate that plant quarantine regulations have been changed. Information from exporters' contacts cannot be considered official because changes or exceptions to plant quarantine regulations must come from the plant protection service of the foreign country. However, a few countries use commercial contracts to outline the import requirements for a particular shipment. Exceptions such as the acceptable use of commercial contracts are listed in the respective export summaries.

### Overview of Procedures:

Procedures to take in determining the import requirements for plants or plant products offered for export are referenced in **Figure 2-3-1**.

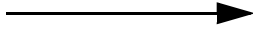
- ◆ "Step 1—Determine if a Plant or Plant Product Is Prohibited in the Export Summary of EXCERPT:" on [page-2-3-2](#)
- ◆ "Step 2—Regulate Prohibited Plants or Plant Products:" on [page-2-3-4](#)
- ◆ "Step 3—Determine Import Requirements for Restricted Plants or Plant Products:" on [page-2-3-4](#)

**FIGURE 2-3-1: Overview of steps for determining import requirements for plants or plant products offered for export**

### Step 1—Determine if a Plant or Plant Product Is Prohibited in the Export Summary of EXCERPT:

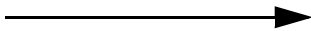
1. Using [EXCERPT](#) and its User's Guide, access the export summary for a particular field. To access the web site for EXCERPT use the following URL: <http://excerpt.ceris.purdue.edu/>. If you cannot access the [EXCERPT](#) system and it is projected by your contact (referenced in [Table 1-6-1](#)) to be out of service for more than 1 work day (8 hours), then go to [Table 2-3-1](#) and determine your action.

**TABLE 2-3-1: Responding to EXCERPT System Failures**

If the EXCERPT user:	And:	Then:
Can access PPQ electronic mail (E-MAIL)	Find the Emergency Response Plan message	GO to Appendix 13, Emergency Response
	<b>Cannot</b> find the Emergency Response Plan message	CALL a contact established in <a href="#">Table 1-6-1</a>
<b>Cannot</b> access PPQ electronic mail (E-MAIL)		

After you have accessed the EXCERPT summary, go to [Table 2-3-2](#) of this manual and determine your response to information in EXCERPT.

**TABLE 2-3-2: Responding to EXCERPT Information**

If:	And EXCERPT:	Then:
The export summary for the country is <b>not</b> in EXCERPT		CALL ES: Phone: (301) 734-8537 FAX: (301) 734-3249
The country's name is in EXCERPT	Gives the following message: "Summary not available. Contact ES."	
	Sends you to the country's name	GO to <a href="#">Table 2-3-3</a> and begin identifying import requirements.
	Sends you to another foreign country—the country that the summary of import requirements is listed under	Use the approved country name in EXCERPT for completing phytosanitary certificates.

2. In EXCERPT, enter the name of the commodity and plant part. There are two possible places within the summary to find if plants or plant products are prohibited:
  - ❖ First, go to General Information which is for all commodities—domestic and reexport. Under the category of prohibited products is a listing of those plants and plant products that are prohibited.
  - ❖ The second place to look is in Product Requirements under the scientific name of the plants or plant products. Typically, the Product Requirements section is used for U.S. origin plants or plant products offered for export.

**TABLE 2-3-3: Determining if a Plant or Plant Product Is Prohibited**

If a plant or plant product is listed in EXCERPT as:	Then:
Prohibited by the country	GO to <a href="#">Step 2</a> , and check if the exporter has an import permit (IP) or other special authorization for the shipment from the plant protection service of the foreign country <sup>1</sup>
<b>Not</b> prohibited by the country	Go to <a href="#">Step 3</a> , and continue to look for import requirements that apply to the plants or plant products

1 This official document may not look like a U.S. issued Import Permit (IP). A foreign issued IP is issued to the importer in the foreign country and a copy is sent to the exporter. If this IP is translated by someone other than the Authorized Certification Official (ACO), it must be certified in writing as an accurate translation before the Authorized Certification Official (ACO) can accept the IP.

### Step 2—Regulate Prohibited Plants or Plant Products:

Use [Table 2-3-4](#) to determine your action if the exporter has an import permit (IP) or other special authorization for shipment from the plant protection service of the foreign country.

**TABLE 2-3-4: Regulating Prohibited Plants or Plant Products With Import Permit (IP) Requirements**

If the exporter has:	Then:
An IP or another special authorization	<ol style="list-style-type: none"><li>1. REVIEW the document for requirements that must be met by the exporter</li><li>2. INSPECT the plants or plant products to make sure the exporter has met requirements listed on the document</li><li>3. ENTER an additional declaration (AD) on the FPC that an IP was presented (include the number of the IP)</li><li>4. GO to the inspectional guidelines beginning on page 2.4.1 behind the tab Inspectional Guidelines</li></ol>
No IP or another special authorization	<ol style="list-style-type: none"><li>1. REFUSE to issue an FPC</li><li>2. INFORM the exporter that the plants or plant products are prohibited by the country and must have an IP to be certified—the exporter must get an IP from the foreign importer</li></ol>

### Step 3—Determine Import Requirements for Restricted Plants or Plant Products:

Step 8 identifies factors that place restrictions on plant shipments. [Figure 2-3-2](#) summarizes the factors that must be considered when you determine if a plant or plant product is restricted.

1. Do the plants or plant products require an import permit (IP)? ( [page-2-3-5](#))
2. Are the plants or plant products conditionally prohibited from specific areas that are infested with a pest usually associated with the host? ( [page-2-3-7](#))
3. Do the plants or plant products require a growing season inspection? ( [page-2-3-8](#))
4. Is there a specific time during the year when the plants or plant products are permitted to enter the foreign country? ( [page-2-3-8](#))
5. Do the plants or plant products require treatment in the country of origin as a condition of entry? ( [page-2-3-8](#))
6. Do the plants or plant products need to conform to an additional declaration (AD) or an official verification (OV)? ( [page-2-3-11](#))
7. Does the foreign country limit the import of plants or plant products to specified ports? ( [page-2-3-12](#))
8. Are there other import requirements of a phytosanitary nature listed in the summary that the plants or plant products must be met as a condition of entry? ( [page-2-3-13](#))

**FIGURE 2-3-2: Summary of factors that must be considered when you determine if a plant or plant product is restricted**

Now, see if the plants or plant products must meet import requirements listed in the foreign country's summary. Identify **all** the requirements—the specific and general requirements sections should be met. If the foreign country has specifically identified the plants or plant products, there will be an entry in Product Requirements listing both the specific and general requirements that must be met. Typically, the Product Requirements section is used for U.S. origin plants or plant products offered for export.

If the foreign country has **not** specifically identified the plants or plant products as requiring conditions of entry and thus are not listed in Product Requirements, then you **must go to General Information** in EXCERPT. Identified here are general requirements that have to be met by all plants or plant products. Also, the General Information section makes the distinction between restricted and unrestricted plants or plant products.



Be aware that when overall import requirements for a foreign country are unusual or unique, a special notice will be under General Information. For example, in the export summary for the Republic of South Africa there is a special notice alerting readers that if plants or plant products are **not** listed in the summary, then they are considered prohibited.

It is important to ensure that **all** import requirements are identified for plants or plant products offered for export. The most common and consistent import requirements that must be met are listed below with the appropriate action(s) that needs to be performed by the Authorized Certification Official (ACO).

Use the following list as a checklist when you review an export summary:

1. **Do the plants or plant products require an IP?** An IP is issued to the importer in the foreign country—not to the exporter. If the exporter has a copy of the permit, the exporter must have received it from the importer. If necessary, the permit should be translated from the original language and notarized as a true translation.
  - A. If the plants or plant products require an IP but are **not** listed in the summary as being prohibited, they are restricted. Continue to **Table 2-3-5** to consider other import requirements.
  - B. If the plants or plant products do not require an IP, then continue to **Table 2-3-6** to consider other import requirements.

**TABLE 2-3-5: Regulating Non prohibited [Restricted] Plants or Plant Products With Import Permit (IP) Requirements**

After reviewing the supporting documents, you determine that the exporter:	Then:
Has a copy of an IP issued by the plant protection service of the foreign country	<ol style="list-style-type: none"> <li>1. INSPECT the plants or plant products to make sure the shipment meets all the requirements listed on the IP  <b>NOTE:</b> An AD is to be recorded on the FPC indicating that an IP was presented</li> <li>2. If needed, CHECK the summary for other requirements that may pertain to the plants or plant products being exported. Generally, the IP supersedes the information in the summary because it is more current. However, an IP may also supplement information in the summary.</li> <li>3. GO to the inspectional guidelines beginning on page 2.4.1 behind the Inspectional Guidelines tab</li> </ol>
Does <b>not</b> have a copy of an IP	<ol style="list-style-type: none"> <li>1. INFORM the exporter that the shipment may be held at its destination point without an IP  <b>NOTE:</b> An AD is to be recorded on the FPC stating: "No Import Permit was presented."</li> <li>2. GO to <b>Table 2-3-7</b></li> </ol>




Generally, you cannot refuse to issue an FPC for restricted or non prohibited plants or plant products if an IP is not presented. However, this rule is not strictly followed for all countries. In some cases, an IP for the importation of certain restricted or non prohibited plants or plant products is required. In these cases, the Authorized Certification Official (ACO) should not issue an FPC unless the IP is presented. Countries that absolutely require an IP for the importation of certain restricted or non prohibited plants or plant products are identified in EXCERPT with the following statement or similar statement: "PC and IP required. Do not issue a PC unless an IP is presented."

**TABLE 2-3-6: Regulating Plants or Plant Products Without Import Permit (IP) Requirements**

After reviewing the supporting documents, you determine that the exporter:	Then:
Has a copy of an IP issued by the plant protection service of the foreign country	<p>1. INSPECT the plants or plant products to make sure the shipment meets all the requirements listed on the IP</p> <p><b>NOTE:</b> An AD is to be recorded on the FPC stating: "Import Permit number ____ was present." (place IP number in blank)</p> <p>1. If needed, CHECK the summary for other requirements that may pertain to the plants or plant products being exported. Generally, the IP supersedes the information in the summary because it is more current although basic requirements will still apply.</p> <p>2. GO to the inspectional guidelines beginning on page 2.4.1 behind the Inspectional Guidelines tab</p>
Does <b>not</b> have a copy of an IP	GO to <a href="#">Table 2-3-7</a>

**2. Are the plants or plant products conditionally prohibited from areas that are infested with a pest usually associated with the host?** Use [Table 2-3-7](#) to take the appropriate action.

**TABLE 2-3-7: Regulating Plants or Plant Products Conditionally Prohibited From Specific Areas That Are Infested With a Pest Usually Associated With the Host**

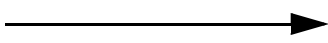
If the plants or plant products are:	And after reviewing supporting documents, you determine that the plants or plant products were grown in: <sup>1</sup>	Then:
Prohibited from specific areas that are infested with a pest usually associated with that host	One of the specified areas	REFUSE to issue an FPC
	An area free from pests associated with that host (A Pest-Free Area)	GO to <a href="#">Table 2-3-8</a>
<b>Not</b> prohibited from specific areas		

<sup>1</sup> Get pest distribution information from the following sources:

- ◆ Area identifiers
- ◆ Contact point officers
- ◆ National Agricultural Pest Information System (NAPIS)
- ◆ State or county regulatory personnel
- ◆ Riverdale (Scientific Services) through your contact point officer
- ◆ Cooperative Extension Services
- ◆ Universities
- ◆ World Wide Web

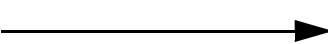
**3. Do the plants or plant products require a growing season inspection?** Use **Table 2-3-8** to take the appropriate action.

**TABLE 2-3-8: Regulating Plants or Plant Products That Require a Growing Season Inspection**

If the plants or plant products:	And after reviewing the supporting documents, you determine that a growing season inspection was:	Then:
Require a growing season inspection	<b>Not</b> satisfactorily conducted	REFUSE to issue an FPC
	Satisfactorily conducted	GO to <b>Table 2-3-9</b> to check for other import requirements that may pertain to the plants or plant products being exported
Do <b>not</b> require a growing season inspection		

**4. Is there a specific time during the year when the plants or plant products are permitted to enter the foreign country?**  
Use **Table 2-3-9** to take the appropriate action.

**TABLE 2-3-9: Regulating Plants or Plant Products That May Enter the Foreign Country Only During Specific Times During the Year**


If the summary:	And after reviewing the supporting documents, you determine that the plants or plant products will:	Then:
Lists a specific time when the plants or plant products are enterable	<b>Not</b> arrive during the specified time	REFUSE to issue an FPC
	Arrive during the specified time	CONTINUE through <b>Step 3</b> to factor <b>5</b> <i><b>“Do the plants or plant products require treatment in the country of origin as a condition of entry?”</b></i> .
Does <b>not</b> list specific times for entry		

**5. Do the plants or plant products require treatment in the country of origin as a condition of entry?**

- A. If the plants or plant products require treatment, use **Table 2-3-10** to take the appropriate action.
- B. If the plants or plant products do not require treatment, but were treated, use **Table 2-3-11** to take the appropriate action.




**TABLE 2-3-10: Regulating Plants or Plant Products That Require Treatment in the Country of Origin as a Condition of Entry**

After reviewing supporting documents, you determine that:	And the exporter is:	Then:
A treatment acceptable to the importing country was conducted under supervision by a Federal, State, or county plant quarantine official <sup>1</sup>		<b>NOTE:</b> Details of <i>all</i> acceptable treatments are to be recorded on the FPC GO to <a href="#">Table 2-3-12</a>
No treatment was conducted or treatment was unacceptable to the importing country	<b>Not</b> willing to arrange for proper treatment	REFUSE to issue an FPC
	Willing to arrange for proper treatment at commercial facilities conducted under supervision by a Federal, State, or county plant quarantine official*	1. SUPERVISE treatment <b>NOTE:</b> Details of <i>all</i> acceptable treatments are to be recorded on the FPC 1. GO to <a href="#">Table 2-3-12</a>

- 1 On occasion and when circumstances warrant, a notarized statement from a licensed pest control operator (certified for the type of treatment applied), or a compliance agreement for fumigation in a chamber may be accepted in lieu of official supervision. Phytosanitary Note #792, dated 02/08/95, clarifies the APHIS policy concerning the certification of commodities for export that are subject to quarantine treatment. Phytosanitary Note #791, dated 02/08/95, clarifies the APHIS policy concerning the certification of seed for export (See a sample of a commodity treatment compliance agreement in Appendix 8, Compliance Agreements.)

**TABLE 2-3-11: Regulating Treated Plants or Plant Products That Do Not Require Treatment in the Country of Origin as a Condition of Entry**

After reviewing the supporting documents, you determine that:	And the exporter:	Then:
An acceptable treatment was conducted under supervision by a Federal, State, or county plant quarantine officer <sup>1</sup>		<b>NOTE:</b> Details of <i>all</i> acceptable treatments are to be recorded on the FPC GO to <a href="#">Table 2-3-12</a>
<b>No</b> treatment was conducted or treatment was unacceptable	Wants the shipment treated	1. SUPERVISE treatment <b>NOTE:</b> Details of <i>all</i> acceptable treatments are to be recorded on the FPC 1. GO to <a href="#">Table 2-3-12</a>
	Does <b>not</b> want the shipment treated	GO to <a href="#">Table 2-3-12</a>

<sup>1</sup> It is APHIS' policy to have Authorized Certification Officials (ACO's) attest to a fumigation treatment on a phytosanitary certificate when:

The fumigation was conducted under monitoring a Federal, State, or county plant quarantine officer and followed procedures specified in the APHIS, PPQ Treatment Manual, **OR**

The fumigation was **not** conducted under monitoring a Federal, State, or county plant quarantine officer; however, a notarized letter attesting to the treatment performed by a licensed pest control operator is presented to the Authorized Certification Official (ACO). **This type of unsupervised treatment can be used only when the licensed pest control operator is not routinely involved in monitored regulatory treatments, and other options are not available.** In this case, the pest control operator (certified for the type of treatment applied) should be provided with the appropriate parts of the PPQ Treatment Manual and advised to follow specified procedures.


The fumigation or treatment is indicated on the label of a seed shipment.



Phytosanitary Note #792, dated 02/08/95, clarifies the APHIS policy concerning the certification of commodities for export that are subject to quarantine treatment. Phytosanitary Note #791, dated 02/08/95, clarifies the APHIS policy concerning the certification of seed for export (See a sample of a commodity treatment compliance agreement in [Appendix H, Issuing Compliance Agreements \(PPQ Form 519\) With Cotton Compresses and Warehouses for the Phytosanitary Inspection of Compressed, Baled Cotton](#)).


**6. Do the plants or plant products need to conform to an additional declaration (AD) or an official verification (OV) or freedom from applicable Harmful Organisms listed in General Information?** Use **Table 2-3-12** to take the appropriate action.

**TABLE 2-3-12: Regulating Plants or Plant Products That Must Comply With an Additional Declaration (AD) or an Official Verification (OV)**

If the plants or plant products:	And after reviewing the supporting documents or inspecting the plants or plant products, you determine that	Then:
Need to conform to an AD	The plants or plant products meet all requirements and conditions specified by the AD	<b>NOTE:</b> An AD is to be recorded on the FPC GO to <a href="#">Table 2-3-13</a>
	There is no clear evidence that the plants or plant products meet all requirements and conditions specified by the AD	DETERMINE if the condition can be met, e.g., treatment <b>If it can be met,</b> 1. ALLOW exporter to provide evidence of freedom 2. INSPECT the plants or plant products <b>after</b> the exporter has provided the evidence 3. GO to <a href="#">Table 2-3-13</a> <b>If it cannot be met,</b> REFUSE to issue an FPC
Need to conform to an OV	There is no clear evidence that the plants or plant products meet all requirements and conditions specified by the OV	GO to <a href="#">Table 2-3-13</a>
	The plants or plant products meet all requirements and conditions specified by the OV	
Does <b>not</b> need to conform to an AD or OV		
Need to conform to freedom from applicable Harmful Organisms listed in General Information	There is clear evidence (e.g. lab tests or field inspection results) that the plants or plant products are free of applicable pests listed in Harmful Organisms	GO to <a href="#">Table 2-3-13</a>
	There is no clear evidence that the plants or plant products meet freedom from applicable pests listed in Harmful Organisms	DETERMINE if the freedom can be met <b>If it can be met,</b> 1. ALLOW exporter to provide evidence of freedom 2. INSPECT the plants or plant products <b>after</b> the exporter has provided the evidence 3. GO to <a href="#">Table 2-3-13</a>


7. Does the foreign country limit the import of plants or plant products to specified ports? Use [Table 2-3-13](#) to take the appropriate action.

TABLE 2-3-13: Regulating Plants or Plant Products That Are Limited to Enter Ports Specified by the Foreign Country

If the plants or plant products are:	And the exporter has designated:	Then:
Limited to specified ports	A port <i>other than</i> what was specified in the summary	1. WARN the exporter that the shipment may be refused or delayed if it enters a port <i>other than</i> what was specified in the summary  <b>NOTE:</b> Do not refuse to issue an FPC if this is the only unmeet requirement 2. GO to <a href="#">Table 2-3-14</a>
	One of the specified ports	GO to <a href="#">Table 2-3-14</a>
<b>Not</b> limited to specified ports		

**8. Are there other import requirements of a phytosanitary nature listed in the summary that the plants or plant products must meet as a condition of entry?** Use **Table 2-3-14** to take the appropriate action.

**TABLE 2-3-14: Regulating Plants or Plant Products That Must Meet Phytosanitary Requirements as a Condition of Entry**

If there is:	And after reviewing supporting documents or inspecting the plants or plant products, you determine that the:	Then:
An import requirement	Requirement was met	GO to the inspectional guidelines beginning on page 2.4.1 behind the Inspectional Guidelines tab
	Plants or plant products do <b>not</b> meet the requirement	<p>DETERMINE if the condition is correctable, e.g., treatment</p> <p><b><i>If it is correctable,</i></b></p> <ol style="list-style-type: none"> <li>1. ALLOW the exporter to meet the requirement or condition</li> <li>2. INSPECT the plants or plant products <b>after</b> the exporter has met the requirement</li> <li>3. GO to the inspectional guidelines beginning on page 2.4.1 behind the Inspectional Guidelines tab</li> </ol> <p><b><i>If it is not correctable,</i></b> REFUSE to issue an FPC</p>
No import requirement		<ol style="list-style-type: none"> <li>1. GO to General Information of the EXCERPT summary (Ref. <b>Step 1</b>). Here, identify unrestricted commodities or general requirements that have to be met by all plants and plant products.</li> <li>2. GO to the inspectional guidelines beginning on page 2.4.1 behind the Inspectional Guidelines tab</li> </ol>

